



COMDTINST M3 120.15

FEB 1 2001

COMMANDANT INSTRUCTION M3 120.15

Subj : COAST GUARD INCIDENT COMMAND SYSTEM IMPLEMENTATION PLAN

Ref: (a) Incident Command System, COMDTINST 3120.14
(b) National Search and Rescue Plan, 1999
(c) National Oil and Hazardous Substances Pollution Contingency Plan (**NCP**) at 40 CFR 300
(d) Contingency Preparedness Planning Manual - Volume 1, COMDTINST **M3010.11B**

1. **PURPOSE.** This Manual provides the framework for implementing the National Interagency Incident Management System (NIIMS) Incident Command System (ICS) throughout the entire Coast Guard for use during **all** response operations and the management of major events. The adoption of NIIMS **ICS** as the Coast Guard's standard response management system is discussed in reference (a). The Coast Guard's implementation of NIIMS ICS will provide responders with a response management tool that is flexible, provides interoperability with other response organizations, and provides surge capability that doesn't currently exist. Additionally, ICS will aid in the improvement of responders' skills and standardize the Coast Guard's ability to respond either as the only agency or as part of a multi-agency response effort, effectively improving the Coast Guard's readiness.
2. **ACTION.** Area, district, maintenance and logistics **commanders**, commanding officers of headquarters units, assistant commandants for directorates, chief counsel, and commanding officers of all Coast Guard units shall comply with the requirements of this Manual and ensure that all active duty, reserve, civilian, and auxiliary personnel are familiar with, and trained in, the use of NIIMS ICS to the appropriate level. Area Commanders shall ensure subordinate commands and their operational and support contingency plan(s) are maintained to manage a Regional or National Incident Command in their respective areas of responsibility. All units holding contingency plans **shall** amend their plans, as necessary,

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to incorporate the information in this Manual. Maintenance and logistics commands, integrated support commands, activities, groups, air stations, and marine safety offices shall coordinate efforts to provide integrated resource capabilities and planning goals necessary to respond to a regionally or nationally significant incident.

3. **DIRECTIVES AFFECTED.** This Manual augments the guidance in reference (a) and cancels the following Commandant Instructions: (1) Incident Command System Implementation Plan, COMDTINST 1647 1.2, (2) Spills of National Significance Response Management System, COMDTINST 16465.1, (3) Coast Guard Crisis Staffing Procedures COMDTINST, 160 1.2A.
4. **BACKGROUND.** NIIMS ICS is a standardized response management system. It is an all hazard – all risk approach to managing crisis response operations as well as non-crisis events. One of the five subsystems of NIIMS is ICS. There are several versions of ICS used within the United States, with minor differences. The Coast Guard has adopted the NIIMS version of ICS. In the remainder of this Manual and its enclosure, references to ICS should be understood to mean NIIMS ICS. The other subsystems of NIIMS are Training, Qualifications and Certification, Publication Management, and Supporting Technology.
 - a. ICS is an on-site incident management system whose principles can be applied to all types of incidents such as floods, hurricanes, search and rescue (SAR), law enforcement, oil spills and hazardous substance releases, and to planned events such as marine parades. Numerous studies of actual responses and exercises have identified on-site command and control as an area in which the nation's ability to respond is significantly enhanced through the use of a standardized response management system. ICS is a superb emergency response management system. When used properly with trained personnel, it will enhance the Coast Guard's ability to conduct response operations. ICS provides a uniform process, organization, and language for emergency response management, ensuring that all emergency responders, regardless of agency or organization, respond as a coordinated team with common objectives. The move towards ICS continues to gain popularity among federal agencies as multi-agency response operations become the norm.
 - b. ICS is a response management system that overlays, but does not replace, existing Coast Guard response organizational structures. For existing response structures and entities, NIIMS ICS is flexible and allows easy adaptation to current practices. ICS is also an invaluable pre-response planning tool.
 - c. SAR operations must be carried out in accordance with reference (b), which adopts international SAR terminology and procedures of the International Aeronautical and Maritime Search and Rescue Manual and other pertinent documents used worldwide, and of the interagency National Search and Rescue Supplement. These documents have their basis in international law that U.S. **SAR** services are obligated to follow,

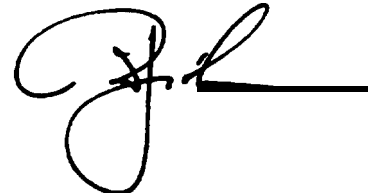
and have practical benefits that are intended to maximize the effectiveness of SAR operations. These advantages apply to daily SAR operations, but may be particularly critical when working with other military services, SAR authorities of other nations and with ships or aircraft at sea. In addition, provisions of the Coast Guard Addendum (COMDTINST M 16130.2B) apply to the SAR mission. SAR personnel should be trained to routinely use standard SAR terminology and procedures regardless of the scope of the SAR incident. SAR operations primarily include actions related to locating and assisting persons in actual or apparent distress. When an emergency warrants responses in addition to SAR, ICS should be used for overall response management, and responsible SAR personnel should simply designate an appropriate representative (e.g., ICS SAR Group Supervisor) to help coordinate SAR operations with the designated incident commander (**IC**). Activities other than SAR could include salvage, body recovery, pollution response, investigation or other operations that are sometimes closely associated with SAR. Response to a SAR incident may involve a SAR mission coordinator (SMC), an on scene coordinator (OSC), an aircraft coordinator (ACO), and an IC. In such cases, the person serving as IC may also be performing one of the other mentioned functions, but the term “Incident Commander” is not interchangeable with titles associated with the other SAR functions. Coast Guard personnel with SAR responsibilities should receive sufficient ICS training to enable them to carry out their respective duties during events where ICS is being used.

- d. It is imperative for the successful implementation of ICS into the Coast Guard culture that **ICS** principles be applied to day-to-day response missions. Use of ICS principles in daily operations will ensure that proficiency is maintained, allowing for the smooth expansion of the unit’s **ICS** organization as an incident expands in size, complexity, or public interest. Without the commitment to use ICS principles in everyday response operations, the frustration of trying to ramp up a large organization from an initial response will continue to manifest itself.
- e. No single program within the Coast Guard is equipped to manage implementation of ICS throughout **all** programs. The Response Management Coordination Council (RMCC) established by the Joint Operations and Marine Safety Coordination Council (**JOMSCC**) **shall** oversee the implementation of ICS throughout the Coast Guard. Commandant (G-MOR) and (G-OPF) are designated as co-chairs of the RMCC. The RMCC has cross-programmatic, executive level representation, described in enclosure **(1)**, to oversee this program.
- f. This Manual contains guidance for contingency staffing at the regional and national levels to oversee: (1) management of multiple incidents impacting Districts or Areas; or (2) the management of a very large incident with multiple Incident Commanders.

Contingency preparedness planning guidance suggests that the use of a regional or national response management structure, which includes the establishment of a Regional Incident Command (**RIC**) or National Incident Command (**NIC**), will make the job of the Coast Guard Incident Commander(s) easier by enabling them to focus their attention on their assigned incident. For the purpose of this Manual, the Coast Guard Incident Commander (CGIC) means any individual designated as a Federal On-Scene Coordinator under reference (c), the National Oil and Hazardous Substances Pollution Contingency Plan; any individual designated as a Coast Guard Incident Commander under reference (d), the Contingency Preparedness Planning Manual – Volume I; or any other Coast Guard personnel assigned to manage incident operations. The senior-level organizational structure outlined in this Manual (Regional and National Incident Command) is based on the National Interagency Incident Management System Incident Command System (NIIMS ICS) Area Command model. The purpose of having two types of designations (**RIC** or **NIC**) is to allow the Coast Guard flexibility as an incident escalates and deescalates. The complexity of an incident and its geographic impact will determine whether a Regional Incident Command or National Incident Command is activated. For example, if an incident is contained within a single district a **RIC** organization may be established. Should the incident impact two districts a **NIC** may be activated.

- g. This Manual also expands on the concept of Incident Management Assist Teams (**IMATs**), originally established in the Coast Guard's Marine Safety Program. **IMATs** are an adaptation of the NIIMS ICS "Type Team" concept. Limited budgets, organizational constraints, current resource configurations, and current personnel rotation policies inhibit the effective training of large numbers of Coast Guard members to become "Type 1" (nationally significant) or even "Type 2" (regionally significant) Incident Management personnel. A Coast Guard Front End Analysis supported the Type Team concept for Coast Guard use. This study highlighted the need to concentrate limited resources on a smaller, more stable pool of individuals with subject matter expertise. As part of the Coast Guard's ICS Implementation efforts, **IMATs** will be expanded from their original focus on **oil/hazardous** material spills to include personnel with the required expertise to address multiple contingencies. With a standard response management system and pre-configured **IMATs**, the Coast Guard's interoperability (both within our service and with others) and surge capability will significantly improve.
- h. The Coast Guard adoption of NIIMS ICS provides access to the NIIMS ICS National Training **Curriculum**. This will make it possible for Coast Guard personnel to receive the necessary training to successfully implement a response organization without the cost of extensive curriculum development. This benefit did not exist prior to the adoption of ICS.
- i. It is recognized that full implementation of ICS will take some time. This

Implementation Plan provides a phased approach that will spread full implementation over the next 5 years. This Implementation Plan is made up of three cornerstones. In order to present each of these cornerstones in the simplest manner, this Manual has been broken down into three enclosures – one for each of the cornerstones. These cornerstones include: enclosure (1) the ICS Training Plan, which provides an overview of the ICS features and outlines the training requirements for everyone in the Coast Guard; enclosure (2) the Regional and National Incident Command (**RIC/NIC**) Protocol, which provides a senior level management organization in the event of a regionally or nationally significant incident; and enclosure (3) the Incident Management Assist Team (**IMAT**) Guidance, which requires the establishment of two highly trained teams to assist Incident Commanders during large and complex response operations.

A handwritten signature in black ink, appearing to be 'T.-W. Josiah', with a horizontal line extending to the right.

T.-W. JOSIAH
CHIEF OF STAFF

Encl: (1) Coast Guard Incident Command System Training Plan
(2) Regional/National Incident Command (RIUNIC) Protocol
(3) Incident Managemnt Assist Team (**IMAT**) Guidance

Coast Guard Incident Command System Implementation and Training Plan

I. INTRODUCTION

A. Discussion.

This Implementation Plan will transition the Coast Guard from its current use of numerous contingency-specific response organizational approaches to a standard response management system. As per reference (a) the NIIMS ICS response management system is the Coast Guard's response management system. Because of the time it will take personnel to become trained and proficient in the use of NIIMS **ICS**, this plan provides a phased approach to achieve full implementation of ICS in the Coast Guard. To ensure early effectiveness in the implementation of ICS in the Coast Guard, this plan is a "two-phased" initiative accommodating both short and long term needs.

The first initiative, designed to meet the initial training needs, is an aggressive, proactive training program for Coast Guard personnel that will develop a sound baseline of ICS knowledge and proficiency.

The second initiative is the development of a productive, systematic, and institutionalized program for ICS qualification.

The Coast Guard will periodically analyze its ICS Training Plan to ensure that the program is effective and as cost-efficient as possible. Recommended changes to the Training Plan should be directed to the Response Management Coordination Council via (G-OPF) or (G-MOR). It is envisioned that **full** implementation of ICS will take five years. All Coast Guard personnel shall support this goal and ICS should be reflected in all response policies and doctrine. Full implementation of ICS and daily use of ICS principles is expected of everyone by the end of year 2005.

B. Response Management Coordination Council (RMCC).

The Joint Operations and Marine Safety Coordinating Council (JOMSCC), chaired by G-O and G-M, has chartered and oversees the Response Management Coordination Council (RMCC). The RMCC is responsible for managing ICS implementation. The RMCC works directly for the JOMSCC and is the Headquarters "Program Manager" for refining, finalizing, and carrying out the implementation of ICS for the Coast Guard. The RMCC does not involve dedicated billets, but relies on the use of existing personnel serving in a collateral duty capacity. The composition of the RMCC includes members **from** G-M, G-O, G-W, G-S, TRACEN Yorktown, NSF, LANTAREA, PACAREA, MLCLANT, and MLCPAC. The RMCC is co-chaired by representatives from G-MOR and G-OPF.

II. ICS FEATURES

A. Incident Typing.

A basic characteristic of NIIMS ICS is modular organization. The size and depth of the organization is built for the particular incident based on the needs of that incident. Within NIIMS ICS, incidents are classified (or “typed”) based on the size, complexity, and public interest of the response. Incident typing allows for an improved understanding of the overall significance of the incident by combining these factors into a single category. Incidents are classified as Type 1, 2, 3, or 4, where the Type 1 incident is the largest and most complex. Appendix A outlines the characteristics of each Type incident and gives examples of each. Incident Commanders are responsible for evaluating the size, complexity, and amount of public interest for a particular incident in their area of responsibility and “typing” the incident accordingly. This information should be included in **POLREPs**, **SITREPs**, etc.

B. Regional and National Incident Command.

Type 1 or Type 2 incidents may be complex enough to require additional strategic oversight. During the planning for how the Coast Guard responds to a Spill of National Significance (SONS), it became readily apparent that incidents of this magnitude, regardless of the type of incident, would require a senior-level management organization to provide assistance to the **CGIC(s)**. Only through risk-based prioritization of critical resources and seamless coordination with other agencies can the Coast Guard provide the best capability to mount an effective and efficient response. Critical resources include any equipment, personnel, or other capability requested by a CGIC that is essential to support tactical actions at an incident but not available in sufficient quantities to meet current and anticipated needs.

The senior-level organizational structure outlined in Enclosure (2) (Regional and National Incident Command) is based on NIIMS ICS Area Command model. The purpose of having two types of designations (**RIC** or **NIC**) is to allow the Coast Guard flexibility as an incident escalates and deescalates. The complexity of an incident and its geographic impact will determine whether a Regional Incident Command or National Incident Command is activated. For example, if an incident is contained within a single district a **RIC** organization may be established. Should the incident impact two districts a **NIC** may be activated.

The Regional/National Incident Command structure is flexible and easily expanded or contracted. The purpose of these command structures is to support the CGIC. The **RIC/NIC** organization provides overall strategic management for an incident and is not intended to direct the incident tactics. Tactical direction and responsibility of the incident lies with the **CGIC(s)**.

C. Incident Management Assist Teams (IMATs).

Recognizing that it is neither realistic nor cost-effective to maintain the highest level of expertise for every individual within a response program, NIIMS ICS guidance provides for Type Teams that can assist local units. Incident Management Assist Teams (**IMATs**) are the Coast Guard's Type Teams. **IMATs** are groups of trained and experienced personnel who exercise and deploy as a team to augment the local response and support organization when requested by the Coast Guard Incident Commander (CGIC). It should be clearly understood that **IMATs** are intended to support the Incident Commander, **not** to supersede or preempt the Commanding Officer or local incident management personnel.

Full implementation of ICS will include establishing two Regional **IMATs**, one corresponding to each coast (Atlantic and Pacific). These **IMATs** are available to respond to regionally or nationally significant incidents (Type 2 or Type 1) or some smaller incidents when requested by the CGIC. The specifics of **IMAT** administration are described in Enclosure (3).

Adoption of the **IMAT** concept greatly reduces the training requirements necessary to implement and maintain a large incident ICS response capability at the unit level. Individual responders will not be required or expected to obtain all of the available ICS training. Rather, local responders will be trained to the level determined necessary to meet most unit needs. **IMAT** members will receive more advanced instruction and will be available to support units as required. Because of the broad, cross-programmatic demands of incident response in the Coast Guard, the Area Commanders and the National Strike Force (NSF) will be tasked with assigning personnel to the **IMATs**. These assignments will be on a collateral duty basis, with personnel deploying as requested by **CGICs**.

D. ICS Training Program Elements.

The ICS Training Program consists of general NIIMS ICS courses, position-specific courses, position-specific workshops, and team training.

1. General ICS Courses. The NIIMS ICS-National Training Curriculum is divided into four courses, I-100, I-200, I-300, and I-400. These four courses serve as the core curriculum of the training program (see Appendix B).
2. Position-Specific Courses. NIIMS ICS contains position-specific courses for key positions within the ICS organization, such as Operations Section Chief, Planning Section Chief, Resources Unit Leader, etc. These are higher-level courses for persons with some significant level of expertise with ICS. The courses are designed to teach detailed responsibilities of the position and how to perform these responsibilities within the organization.
3. Position-Specific Workshops. Because of the limited availability of existing **position-specific** courses, position-specific workshops will be held. These will be geared toward field

unit, District, MLC, and Area personnel, and will emphasize the practical aspects of carrying out the responsibilities of an ICS position within the Coast Guard, as well as information flow within the ICS organization. The workshops will consolidate information **from** two or more **position-specific** courses.

4. Team Training. This category of training includes small group or team dynamics and is designed to help the people who work together within an ICS organization to be a productive, efficient unit. This training is an essential component of the ICS training program in addition to the individual training described above.

III. ICS IMPLEMENTATION

A. Response Policy.

With the adoption of NIIMS ICS as the Coast Guard's standard response management system, applicable Coast Guard policy and doctrine must be revised to incorporate NIIMS ICS organizational structures and processes. This will occur over a five-year period, with the target for completion by the end of **2005**. Until this transition is complete, field units are encouraged to use NIIMS ICS for response operations to the extent that their personnel are capable.

B. ICS Training.

The following describes the plan for the training implementation, including target audience and delivery sources. It is summarized in Appendix C. Because the training program is evolving, the delivery of the training will shift sources as ICS is incorporated into the Coast Guard's established training program. As training is formalized, ICS training courses will be assigned numbers to track them in the PMIS database.

Training Sources – ICS training will be obtained from various sources, however, for consistency of content, training provided by certified Coast Guard ICS instructors will be the primary method for general ICS courses. The NSFCC will manage the Coast Guard ICS Instructor certification program and maintain a list of certified instructors until the ICS Coordinator position is established at TRACEN Yorktown. At that time, the ICS Coordinator will assume responsibility for the ICS Instructor certification program. As an alternative, other public or private sources for NIIMS ICS training can be used, provided that the source is using Coast Guard NIIMS ICS training materials or has been certified by the National Wildfire Coordinating Group (**NWCG**) to deliver NIIMS ICS training courses. The ICS Training Coordinator will maintain a list of certified providers of NIIMS ICS training.

Training Requirements (see summary of this information in Appendix C):

1. **I-100.** Within the National Training **Curriculum** is a training module entitled "ICS Orientation: Module 1, I-100." This portion of the overall training program is to be administered by the Coast Guard Institute as a correspondence course. This course is required for: (1) All Marine Safety personnel who may be involved in response operations including Reservists and Auxiliarists, (2) CO, **XO**, department heads and their assistants (including the Administration Chief and Senior Yeoman), Communications Officers, senior controllers and section controllers at Groups/Activities/Sections, (3) E-7 and above at Air stations, (4) RCC Controllers, (5) **All** E-6 and above at **ISCs**, and (6) E-7 and above at **PSUs**. Completion of I-100 is a prerequisite for additional ICS training. A copy of the End-of-Course letter is to be included in the member's training record. As the ICS training program evolves, it is envisioned that the **I-100** course will be incorporated into all Coast Guard entry-level training programs, including some accession points, by the end of 2003.

2. I-200. The ICS modules that constitute the I-200 training, Modules 2-6, are required for: (1) All Marine Safety officers and petty **officers** E-6 and above at operational units (including Reservists and Auxiliarists who may be involved in response operations), (2) CO, **XO**, department heads and their assistants (including the Administration Chief and Senior Yeoman), Communications Officers, senior controllers at Groups/Activities/Sections, (3) **CO/XO/OPS** and all aircraft commanders at Air stations, (4) RCC Controllers, (5) All E-6 and above at **ISCs**, and (6) CO and department heads at **PSUs**. I-200 is available as a one-day course, as a correspondence course **from** the Coast Guard Institute, or as WEB-based training. I-100 is a pre-requisite for this training.
3. I-300. This training is more advanced and given in a classroom session with exercises throughout the curriculum. At **MSOs**, all E-7 and above should receive I-300, which consists of the ICS modules 7-1 1. At Air Stations, 2 of the 3 among CO, **XO**, OPS should receive I-300. All E-7 and above at support units (i.e. **ISCs**) that would be directly involved in logistical, administrative, or financial support during a response should receive I-300. At Groups/Activities/Sections 2 of the 3 Command and Control billets **CO/XO/OPS** should receive I-300 training. This training is available as a **2-day** course or may be given at TRACEN Yorktown as part of other applicable courses. I-100 and I-200 are pre-requisites for this training.
4. I-400. This training is optional and geared toward senior management personnel. I-400 consists of ICS modules 12-15. This training is provided as a one-day course or is incorporated at **TRACEN** Yorktown in senior-level courses such as the Command and Control Course in the Contingency Preparedness School, the **PCO/PXO** Course, and the OSC Crisis Management Course.
5. Position-Specific Courses. This training is provided primarily through the National Forest Service and various state forest services. Based on the limited availability of these courses, **IMAT** members will receive priority to attend them. Quotas for these courses are administered through the NSFCC, who also maintains a complete listing of available courses until such time that the ICS Coordinator position is established at **TRACEN** Yorktown.
6. Position-Specific Workshops. These workshops are geared towards personnel who will fill key ICS positions, in lieu of attending an ICS Position-Specific Course. As a part of overall ICS implementation, these workshops will be made part of the curriculum offered by TRACEN Yorktown by the end of 2002. Until then, these workshops will be conducted by the NSF with the assistance of instructors **from** other Coast Guard programs, other agencies and commercial sources.
7. Team Training. This training is intended to build the skills of functioning command teams such as a local area Incident Management Team or an **IMAT**. Currently, there are two prototypes available: **IMAT** training and MATES training. **IMAT** training is currently delivered by the NSF and is one of the most significant training requirements for **IMATs**. It consists of four days of team and skill building training with a table top exercise focused on **NIIMS** ICS processes. Multi Agency Team Enhancement System (MATES) training is directed to those individuals, who have or may have, command post responsibilities associated with multi-agency responses at the local level. This has typically been for **oil/hazmat** related incidents only but recent changes have made MATES more generic and multi-contingency capable. This **decision-**

making process improvement encompasses not just Coast Guard personnel, but a mix of federal, state, and private individuals who may normally contribute in the command post.

8. ICS for Senior Experienced Responders. This training is an optional two-hour segment intended to provide senior experienced enlisted and officer responders, with no prior ICS training or experience, an overview of NIIMS ICS principles.

C. ICS Qualification System.

The training identified in the Training Table (Appendix C) provides the foundation for an ICS Qualification System. The NIIMS ICS qualification system is a "performance based" system. In this type of system, the primary criterion for qualification is individual performance as observed by an evaluator, using approved standards. The components of the qualification system will be:

1. Position Task Books (PTBs). These will be prototyped by the **IMATs** to determine whether **PTBs** should be used on a broader scale throughout the Coast Guard. The **PTBs** used by the **IMATs** already exist within the NIIMS ICS System. They are similar to PQS booklets and will contain all critical tasks required to perform a specific job. There will be a PTB for the majority of ICS positions. Performance tasks may be "signed off" by qualified members, **after** performance during real incidents, training, simulated incidents (drills and exercises) or planned events. A determination to use **PTBs** throughout the Coast Guard will be made by 2003.
2. Qualification Tracking. **Once** personnel have completed the required training, they will be issued a qualification letter. The person will be assigned a qualification code, which will be entered into a database and tracked. The details of the qualification codes and tracking database are being developed by G-W in concert with the RMCC and will eventually be incorporated into the Coast Guard's new qualification tracking system. Until the Coast **Guard's formal** training management system is online, training providers should track the personnel that are trained in ICS topics.
3. Interim Qualifications. The Coast Guard NIIMS ICS qualification system is not expected to be established and operational until 2001. In the interim, Commanding Officers are to determine unit personnel "qualified" to hold ICS positions based on training and past experience.
4. Instructor Qualifications. Coast Guard ICS Instructors will be trained and certified by the NSFCC until the ICS Coordinator is established at **TRACEN** Yorktown at which time the ICS Coordinator will assume this responsibility.

D. ICS Support Tools.

1. Job Aids. Job aids are guides and performance supports that help members perform tasks they do infrequently, are too complex to memorize, or that are comprised of critical steps. Job aids can take many forms (e.g. checklists, document templates or machinery repair maintenance cards, etc.). Job Aids specific to key ICS positions and Coast Guard operations can be found on the Coast Guard (G-O) and (G-M) web sites.
2. Coast Guard Standard After Action Information and Lessons Learned System (CG-SAILS). This is a lessons learned database that acts as a repository for cumulative lessons learned during incidents. The idea is to capture the lessons learned so that they can be incorporated into job aids and contingency plans to improve future performance. This database should be referred to for the most recent useful information learned and tips for ICS positions. It has a very user-friendly interface that can access lessons learned or recommended best practices by ICS position. This system will be described in a separate Instruction and can be found on the internet at www.cgsails.uscg.mil.

IV. RESPONSIBILITIES

A. Listed below are responsibilities for the implementation of NIIMS ICS in Coast Guard Headquarters:

1. Commandant (G-O)

- a. Ensure that appropriate references and information about ICS are included in relevant manuals and other primary policy and guidance documents for law enforcement, **SAR** and other missions as appropriate by the end of calendar year 2002.
- b. Provide representative(s) to the RMCC.

2. Commandant (G-S)

- a. Update logistics policies and procedures to reflect use of ICS for contingency logistics support. This should include a well-defined, scalable, responsive system to support Unit and District/Area Commanders as they respond to any Coast Guard contingency.
- b. Maintain liaison with the National **Wildfire** Coordinating Group (**NWCG**) National Interagency Coordinating Center (**NICC**) in Boise, ID to facilitate the development of Coast Guard contingency logistics policy and doctrine.
- c. Provide representative(s) to the RMCC.

3. Commandant (G-L)

- a. Ensure appropriate numbers of Coast Guard attorneys and law specialists become familiar with **NIIMS** ICS (up through J-300) to assist as legal technical specialists during a contingency response.
- b. Identify legal technical specialists available to provide support to Federal On-Scene Coordinators and Coast Guard Incident Commanders.

4. commandant (G-W)

- a. Coordinate inclusion of the NIIMS ICS National Training Curriculum and Position Specific Workshops into appropriate existing training by the end of calendar year 2003.
- b. Coordinate with the various programs to develop a Coast Guard-wide Position Specific ICS Training Program adapted from the Front End Analysis for Coast Guard ICS dated April 1998.

- c. In concert with the RMCC Training and Certification Team, work with appropriate program managers to incorporate ICS training courses and qualification codes into existing and future personnel information systems as soon as possible and no later than the end of calendar year 2001.
- d. Coordinate with the RMCC to initiate appropriate follow-on analyses as necessary, funded by the programs, to assess the effectiveness of the new Incident Command System (e.g., Learners Analysis, Performance Analysis, Job Task Analysis, etc.).
- e. Provide a Training Policy representative to the RMCC.

5. Commandant (G-M)

- a. Incorporate ICS principles into the Coast Guard Marine Safety Manual by the end of calendar year 2002.
- b. Ensure that ICS is thoroughly incorporated into other program guidance such as the guidance for Area Contingency Plans and other response plans by the end of calendar year 2003.
- c. Provide representative(s) to co-chair the RMCC.
- d. Provide chair for the Policy and Doctrine Team to the RMCC.

6. Program Managers (All Programs)

- a. Oversee **full** implementation of ICS into all aspects of respective program by the end of calendar year 2005, as appropriate.
- b. Ensure that organizational policy and doctrine is rewritten to reflect the implementation and daily use of ICS by the end of calendar year 2002.
- c. Prepare budgets to cover initial ICS training requirements until such time that ICS is incorporated into the existing training **infrastructure**.
- d. Coordinate with G-WT to incorporate ICS into applicable training programs.
- e. Ensure that life cycle requirements of all data/documents are met, including the creation, use, maintenance and disposition of records, in both paper and electronic media

7. Response Management Coordination Council [(G-MOR) and (G-OPF) are co-chairs]

- a. Formulate national Coast Guard response management policy and doctrine consistent with the **NIIMS** ICS.
- b. Monitor the Coast Guard-wide implementation of ICS and modify this Implementation Plan as appropriate.

- c. Coordinate NIIMS ICS policy and doctrine alignment with other agencies.
- d. Develop Coast Guard-wide ICS qualification standards.
- e. Coordinate the documentation/tracking of ICS qualifications.
- f. Establish policy for formation of multi-contingency **IMATs**.

B. Listed below are the responsibilities of Headquarter Commands:

1. National Strike Force

- a. Develop subject matter experts in ICS and assume a lead role in policy formulation, doctrine development, and ICS implementation efforts. The National Strike Force is considered a Coast Guard ICS asset and can be requested for assistance in any type of contingency.
- b. Establish instructor qualification standards consistent with national practice and in cooperation with the RMCC Training and Certification Team, and provide qualified personnel, as needed, to serve as ICS instructors.
- c. Remain abreast of commercial or other sources of ICS training. Assist units in locating certified ICS training sources until the ICS Training Coordinator is established and can assume this responsibility.
- d. Provide Coast Guard representation on the National Wildfire Coordinating Group (**NWCG**) Incident Operations Standards Working Team (IOSWT) and maintain liaison with the **NWCG**.
- e. Support the development of Incident Management Assist Teams (**IMATs**) as outlined in Enclosure (3) of this manual.
- f. Perform the ICS Training Coordinator responsibilities delineated below until the position is established at TRACEN Yorktown.
- g. Provide representative(s) to the RMCC.

2. **TRACEN** Yorktown

- a. Provide representative(s) to the RMCC. Through membership on the RMCC, act as a primary advisor on instructor qualifications and standards.
- b. Develop an interim ICS training database to track ICS training until People Soft is online.
- c. Provide Chair for the Training and Certification Team to the RMCC. The person selected for that position should also be the Coast Guard liaison with the National Wildfire Coordinating Group Training Working Team.

- d. Incorporate NIIMS ICS training into appropriate existing training courses.
- e. Establish an ICS Training Coordinator who will be responsible for the following:
 - (a) Coordinating and conducting training for Coast Guard ICS Instructors.
 - (b) Coordinating Position Specific Workshops and position training opportunities with Districts and Areas.
 - (c) Maintaining liaison with the other Coast Guard Training Commands (i.e. **TRACEN** Petaluma, NSF, and the Academy) for all ICS training.
 - (d) Administering quotas for Position Specific Courses.

3. Coast Guard Institute

- a. Administer ICS correspondence courses for CG personnel for I-100 and I-200.

4. Research & Development Center

- a. Work to monitor, adapt, and develop as necessary, supporting technology beneficial to response management. This would include technical, training, and measurement support systems and organizational development improvements to increase incident management effectiveness and efficiency.

5. Academy/Leadership Development Center

- a. Incorporate ICS principles as part of leadership development training in the Coast Guard, as supported by analysis and funding.

C. Listed below are the responsibilities of the Areas, Districts, and field units:

1. Areas

- a. Oversee ICS implementation throughout Area.
- b. Modify Contingency Preparedness Plans to reflect implementation of NIIMS ICS and its use in all response operations led by the Coast Guard.
- c. Coordinate with response partners to adopt ICS as the preferred response organization. Provide training to other agencies as resources permit and conduct joint exercises using ICS **infrastructure**.
- d. Each Area is to establish an Incident Management Assist Team (**IMAT**) as outlined in Enclosure (3) of this manual and provide the necessary support to develop and maintain its ability to respond.
- e. Provide representative(s) to the RMCC.

2. Maintenance and Logistics Commands (**MLCs**)

- a. Update logistics policies and procedures to reflect use of ICS for contingency logistics support. This should include a well-defined, scalable, responsive system to support Unit and District/Area Commanders as they respond to Coast Guard contingencies.
- b. Ensure ICS training and qualifications are documented in existing qualification databases.
- c. Modify Disaster Support Plans to incorporate ICS.
- d. Maintain liaison with the NWCG Geographic Area Coordination Centers for contingency logistics support.
- e. Provide representative(s) to the RMCC.

3. Districts

- a. Coordinate ICS implementation activities within the District.
- b. Ensure ICS training and qualifications are documented in existing qualification databases.
- c. Modify District Contingency Preparedness Plans per this Instruction and guidance **from** the Area Commander to reflect implementation of ICS and its use in all response operations led by the Coast Guard.

4. Field Units

- a. Ensure ICS training and qualifications are documented in existing qualification databases.
- b. Modify local Contingency Preparedness Plans to reflect implementation of **NIIMS** ICS and its use in all response operations led by the Coast Guard.

5. All (active duty, reserve, auxiliary, civilian personnel)

- a. As soon as practicable, but not later than 2005, use ICS as the standard incident management system for all response operations and planned events.
- b. Recommend changes and improvements to the Coast Guard's ICS implementation efforts. This feedback should be directed to the RMCC via the chain of command to (G-OPF) or (G-MOR), the RMCC co-chairs.

Appendix A Incident Type and Characteristics

Incident Complexity	Incident and Organization Characteristics
<p><u>Type 4</u> Initial Response</p>	<ul style="list-style-type: none"> . Small incident (approx. 80% of responses) or initial response to larger incident. . Typically one operational period. Verbal action plan. . Single or a few resources. . Command, General Staff positions normally not activated. . Examples: small spill, simple SAR, tow case, boating while intoxicated incident.
<p><u>Type 3</u> Extended Response</p>	<ul style="list-style-type: none"> . Larger incident (approx. 15% of responses). . SAR which crosses District/Group AOR Boundaries. . May require multiple operational periods -- if so, written action plan. . Several single resources to several strike team/task forces. . Some Command and General Staff activated; usually no Division/Group Supervisors (unless required by span-of-control considerations). May use a staging area. . Examples: Vessel collisions with subsequent SAR and pollution, Cruise Ship Ecstasy Fire (FL), Buffalo Barge Spills (TX).
<p><u>Type</u> Regionally Significant</p>	<ul style="list-style-type: none"> . Regionally significant incident (<5% of responses). . Highly complex incident or event. . Multiple operational periods; Written action plan. . Many resources, combined as task forces/strike teams; As many as 200+ resources. . Should use IMAT if needed. . Most/all Command & General Staff, and many functional unit positions activated. . May activate Regional Incident Command led by District Commander. . Examples: T/B NORTH CAPE (RI), San Jacinto River flood (TX), Kennedy plane crash, Powell Duffryn (GA), Marinel Boat Lift, mid-west floods of 1993, OPSAIL, Hurricane Floyd/Andrew.
<p><u>Type 1</u> Nationally Significant</p>	<ul style="list-style-type: none"> . Nationally significant incident (< 1% of responses). . The most complex incident or event. . Multiple operational periods; Written action plan. . Hundreds, perhaps thousands of resources, extensive field ops. . Activate IMATs. . Command & General Staff, and functional unit positions activated; May activate National Incident Command led by Area Commander. . Examples: T/V EXXON VALDEZ (AK), TWA 800.

Appendix B Curriculum Series Incident Command System National Training

LEVEL

I-100	#1 ICS Orientation				
I-200	#2 Principles and Features	#3 Organization Overview	#4 Features	#5 Resource Status Keeping	#6 Common Responsibilities
I-300	#7 Organization and Staffing	#8 Organizing for Incidents	#9 Resource Management	#10 Air Operations	#11 Incident and Event Planning
I-400	#12 General and Command Staff	#13 Unified Command	#14 Major Incident Management	#15 Area Command	
I-401	#16 Multiagency Coordination				
I-402	#17 ICS for Executives		ICS for Senior Experienced Responders*	*Not actually part of the NIIMS curriculum. Two hour brief developed to aid Coast Guard ICS implementation.	

Companion Documents

Field Operations Guide (FOG)	Course Administrators/ Instructors Guide	Curriculum Syllabus & Syllabus Summary	Position Descriptions/ Responsibilities	History of ICS
Scenario & Action Plan Catalog	Glossary	NIIMS Forms Catalog	NIIMS ICS Operational System Description (publication PMS 120-1)	

Appendix C ICS Training Table

			Estimated Time Frame
I- 100	<ol style="list-style-type: none"> 1) Marine Safety: All personnel who may be involved in response operations 2) Groups/Activities/Sections: CO/XO; All dept heads and their assistants (incl Admin Chief & Sr. YN); Comms Officer; and Sr. Controller, Section Controllers 3) Airstas: E7 and above 4) Districts: RCC Controllers 5) PSUs: E7 and above 6) All E-6 and above at ISCs 	Correspondence Course	By end of year 2002
I-200	<ol style="list-style-type: none"> 1) Marine Safety: All officers; all E-6 and above at operational units 2) IMAT members 3) Groups/Activities/Sections: CO/XO; All dept heads and their assistants (incl Admin Chief & Sr. YN); Comms Officer; and Sr. Controller, 4) Airstas: CO/XO/OPS and all aircraft commanders 5) Districts: RCC Controllers 6) PSUs: CO and Dept Heads 7) All E-6 and above at ISCs 	CG I-200 Instructor or in a Correspondence Course	By end of year 2003
I - 300	<ol style="list-style-type: none"> 1) MSOs: E-7 & above 2) Groups/Activities/Sections: 2 of the 3 Command & Control billets(CO/XO/OPS) 3) Airstas: 2 of the 3 among (CO,XO,OPS) 4) E-7 & above at support units (i.e. ISCs) that would be directly involved in logistical/admin/ finance support during a response 5) IMAT members 	CG I-300 Instructor/ some resident training courses	By end of year 2004

Appendix C ICS Training Table

Training	Who Receives It	Agency Provided	Estimated Time Frame
I - 400	Optional. Strongly recommended for COs/XOs of MSOs, Groups, ISCs	CG 1400 Instructor/ some resident training courses	By end of year 2005
Position Specific Workshops	Personnel who may fill key ICS positions	Primarily National Strike Force w/assistance from others	By end of year 2005
Position Specific Courses	Primarily IMAT personnel	NIFC, Calif. Dept. of Forestry	By end of year 2005
Team Training (IMAT/MATES)	Primarily IMAT personnel and local Incident Management Teams	Coordinate through the NSF or ICS Training Coordinator	Annually for IMATs , as needed for all others
ICS for Senior Experienced Responders	Optional for E-7 and above responders with no prior ICS training and experience	Coordinate through the NSF	By end of year 2005

Regional Incident Command/National Incident Command (~~RIC/NIC~~) Protocol

COAST GUARD REGIONAL INCIDENT COMMAND AND NATIONAL INCIDENT COMMAND (RIC/NIC) PROTOCOL

In situations where there is a need for senior executive-level response coordination, command and control of an incident may include the use of a Regional or National Incident Command (**RIC/NIC**). The purpose of a Regional/National Incident Command organization is to oversee the overall management of the incident(s), focusing primarily on strategic assistance and direction and resolving competition for critical response resources. This organization does not supplant the Coast Guard Incident Commanders (CGICs), but supports and provides strategic direction. Execution of tactical operations and coordination remains the responsibility of the **CGIC(s)**. Appendix A depicts the relationship between the **RIC/NIC** and the **CGIC(s)**. For incidents where there is **multi**-agency jurisdiction a Unified Command is typically established.

Regional Incident Command: A Regional Incident Command (RIC) is an organization activated by the District Commander to ensure coordination for command, planning, and logistical matters. (**It should be noted that Area Commanders have District Commander responsibilities for the 5th and 11th Districts.) The need for a RIC may arise when there are multiple CGICs and/or when there is heavy demand for Coast Guard resources **from** other agencies such as FEMA or the EPA. The RIC will determine which critical resources are sent to which incident and determine priorities for their assignment.

National Incident Command: A National Incident Command (**NIC**) is an organization activated by the Commandant or Area Commander that is functionally similar to the Regional Incident Command in all aspects, but the complexity of the incident requires the direct involvement of the most senior Coast Guard operational commander(s).

1. Determination to Activate a Regional or National Incident Command.

A District Commander, Area Commander, or the Commandant can determine when an incident(s) is of such magnitude, complexity, or operational intensity that it would benefit from the activation of a Regional or National Incident Command structure.

Factors to be considered when deciding to activate a Regional or National Incident Command include, but are not limited to:

- Complex incident overwhelming local and regional Coast Guard assets;
- Overlapping Coast Guard districts;
- An incident that crosses international borders;
- The existence of, or the potential for, a high level of national political and media interest; or,
- Significant threat or impact to the public health and welfare, natural environment, property, and or economy over a broad geographic area.

2. Initial Actions.

When the decision is made to activate a Regional or National Incident Command, the following actions should occur.

- The District Commander will activate a Regional Incident Command (**RIC**) or, depending on the complexity of the incident and political and public interest or, based on recommendations from the District Commander, the Area Commander or the Commandant may designate a National Incident Command (**NIC**).
- A Regional/National Incident Commander and a deputy Regional/National Incident Commander will be activated with clear succession of command authority.
- If an incident(s) is multi-jurisdictional, the **RIC/NIC shall** establish a unified command. Unified command is an ICS concept that brings together the “Incident Commanders” of all major organizations involved in the incident to coordinate an effective response while at the same time carry out their own jurisdictional responsibilities. Unified command representatives will typically consist of executives possessing the highest level of response authority as possible. For efficiency of decision making within the unified command, the **RIC/NIC** shall determine the proper makeup and number of representatives.

3. Responsibilities of the Regional/National Incident Commander.

When the Coast Guard is the lead federal agency with primary response authority, the Regional Incident Commander or National Incident Commander will have responsibility . for overall strategic management of the incident and will:

- Set the overall incident objectives
- Establish overall incident priorities;
- Allocate critical resources based on those priorities;
- Ensure that the incident is properly managed;
- Ensure that the on-scene incident objectives are met and **shall** provide support to minimize conflict with supporting agencies priorities;
- Provide public affairs support to the **CGIC(s)**;
- Communicate, at the commensurate level, with affected parties, stakeholders, and the public, and,

- Coordinate acquisition of off-incident, unassigned, and/or out-of-area resources. This could include federal, state, local, contract, and international resources as appropriate. This strategic coordination may involve other federal agencies and the Governor(s) of the affected state(s).

Note: There may be incidents where it is beneficial to activate a RIC or NIC, but the Coast Guard is not the lead response agency. In these cases, the **RIC/NIC** will coordinate with the lead agency's response organization and, if agreed upon, **form** a Unified Command. The **RIC/NIC** can plug into the Federal Response Plan organization led the Federal Emergency Management Agency (**FEMA**) at the Regional Operations Center (**ROC**) directly or through Emergency Support Function (ESF) 10.

When the Coast Guard is an assisting agency operating under the Federal Response Plan (FRP), the Regional Incident Commander or National Incident Commander will have the responsibility for overall strategic management of Coast Guard assets in support of the Federal Coordinating Officer (FCO).

In this case, the **RIC/NIC** will:

- Balance and allocate critical resources based on FEMA set priorities;
- Ensure that the Coast Guard's participation and support is properly managed,
- Ensure that FCO objectives are met with **minimal** disruption to Coast Guard statutory responsibilities;
- In concert with the FCO, communicate with **affected** parties, stakeholders, and the public; and,
- Facilitate the coordination and support of local, state, and contract resources as appropriate.

4. Responsibilities of the **CGIC(s)** under a Regional/National Incident Command.

- Direct response efforts and coordinate all other efforts at the scene of the incident.
- Approve and authorize the implementation of the Incident Action Plan.
- Keep the Regional/National Incident Command informed of incident status.
- Determine incident objectives, strategies, and tactical direction to minimize impact on national interests: people, the environment, property and economic systems.

- Assure that the health and safety of responders and the affected public is the highest priority.

5. Reporting Relationships.

It is envisioned that the role of Regional Incident Commander or National Incident Commander will be filled by a flag officer (or their designee) with the ability to set priorities and objectives on behalf of the entire Coast Guard. When established, the RIC reports through the District and Area Commanders to the Commandant. When a National Incident Command is established, the designated NIC will normally be the Area Commander. When the NIC is not the Area Commander, the NIC will report directly to the Area Commander in whose **AOR** the incident occurred. **MLC** Commanders shall support the **RIC/NIC** organization as directed by the Area Commander.

In the rare instance where the Commandant designates a National Incident Commander at Headquarters to manage an event that impacts the entire Coast Guard (for example: **Y2K** or a nationwide electronics systems failure), the NIC reports directly to the Commandant while maintaining close liaison with the Area Commanders.

When a National Incident Command is established, the District Commander(s) may fill the role of Deputy National Incident Commander.

6. General Organization of the Regional/National Incident Command.

The **RIC/NIC** organization should always be kept as small as possible. The minimum organization will consist of the Regional/National Incident Commander and a deputy. As an incident escalates, the **RIC/NIC** staff will coordinate with the Command Center to assure information is shared and processed efficiently. As necessary, these other positions should be staffed. Area and District Commanders will designate personnel to fill these positions on their NIC and RIC staff...

- Assistant Regional/National Incident Commander, Logistics
- Assistant Regional/National Incident Commander, Planning
- Assistant Regional/National Incident Commander, Finance/Administration
- **RIC/NIC** Resources Unit Leader
- **RIC/NIC** Situation Unit Leader
- **RIC/NIC** Information Officer
- **RIC/NIC** Liaison officer
- **RIC/NIC** Law Specialist

The Regional/National Incident Command does not, in any way, replace the on-scene incident ICS organizations or functions. The above positions, if established, are strictly related to the **Regional/National** Incident Command functions described in Tactical operations continue to be directed by the **CGIC(s)**.

The following Appendices are included in this Enclosure:

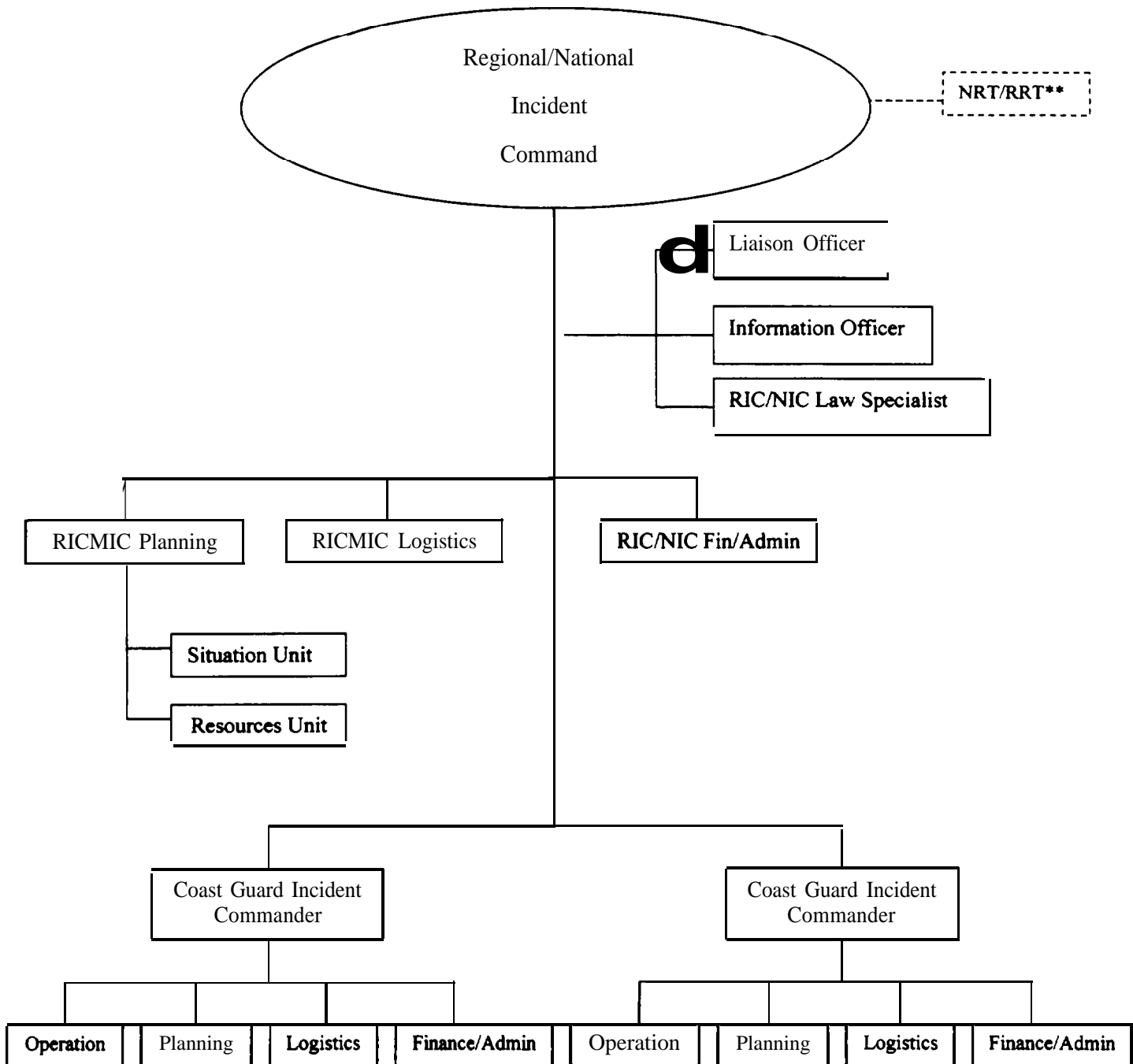
Appendix A – **RIC/NIC** Relationship to the Coast Guard Incident Commander(s)

Appendix B – Roles and Responsibilities of the **RIC/NIC** Command Team

Appendix C – Required **Training** of the **RIC/NIC** Team

Appendix D – Spills of National Significance

Appendix A RIC/NIC Relationship to Coast Guard Incident Commander(s)



* Note: **NIIMS** Area Command includes an Aviation Coordinator position. This position was intentionally **left** out. **The RIC/NIC** can add the position anytime they determine a need for special aviation coordination.

** Applicable to oil spills and hazardous material incidents

Appendix B Roles & Responsibilities of Regional/National Incident Command Team

A. REGIONAL/NATIONAL COMMANDER.

1. Provide briefings to the Commandant (and Area Commander if applicable) and obtain feedback regarding Coast Guard expectations, concerns, and constraints.
2. If operating within a Unified Command, develop a working agreement with all participants to employ NIIMS ICS as the response management system. (If possible, this should be worked out well in advance)
3. Assess incident potential and ensure the **RIC/NIC** infrastructure is capable of meeting response objectives.
4. Set the stage for accomplishment of best response, by providing clear understanding of Coast Guard expectations, intentions and constraints.
5. Provide overall direction and strategic and overarching logistical management of the incident(s), including setting of overall objectives.
6. Ensure that the response addresses the priorities and direction set by the **RIC/NIC**.
7. Establish priorities for assignment and demobilization of critical resources.
8. Assign and approve demobilization of critical resources.
9. Establish/approve policy for release of information to the media, the public, etc.
10. Serve as public spokesperson for the overall crisis response.
11. Manage staff to ensure the **CGICs** are supported.

B. DEPUTY REGIONAL/NATIONAL COMMANDER

1. Assist the **RIC/NIC** in executing his/her responsibilities.
2. Provide incident specific subject matter expertise to the **RIC/NIC**.
3. Oversee and facilitate the overall operation of the **RIC/NIC** staff on behalf of the **RIC/NIC**.

C. RIC/NIC LIAISON OFFICER.

1. Establish liaison, as needed, with representatives of assisting and cooperating agencies. This will **often** be with the same agencies represented at the CGIC level, but will typically be a link to a more senior organizational level than that represented on scene.
2. Establish liaison, as needed, with stakeholders: environmental, economic, and political. There may be some stakeholders that, because of their wide area influence, organization and interest, will desire representation at both CGIC level and at the **RIC/NIC** level. It is expected, however, that the majority of stakeholder service and support will be handled at the CGIC level.

Appendix B Roles & Responsibilities of Regional/National Incident Command Team

3. Monitor and support as requested, the CGIC's Liaison Officer(s)' efforts to establish strong ties to assisting/cooperating agencies and stakeholders.
4. Oil and hazmat spills: As necessary, work with the National Response Team (**NRT**)/Regional Response Team (**RRT**) to identify and resolve issues and concerns. Keep the **NRT/RRT** informed of incident status and seek their support
5. Monitor and measure stakeholders' and assisting and cooperating agencies' perception of the effectiveness of the response and keep the RIUNIC and staff advised.
6. Liaise with all investigating agencies, supporting their activities so as to provide for best possible progress without interference with the incident response. Coordinate site visits with the **CGIC(s)**. As much as possible, **RIC/NIC** will deal with all investigating agencies in an effort to reduce/minimize impact on the CGIC.

D. **RIC/NIC** INFORMATION OFFICER.

1. Provide rapid and accurate information on the incident to the media and other interested parties. Normally, detailed information regarding response specifics will be referred to and handled by the appropriate CGIC's Information Officer. The RIUNIC Information Officer will generally provide information on overall progress and status of the response **from** a regional or national perspective.
2. Identify and communicate to **RIC/NIC** staff the RIUNIC policy and procedures for release of information.
3. If appropriate, establish the **RIC/NIC** Joint Information Center, as directed by the **RIC/NIC**.
4. Coordinate with the CGIC's Information Officer(s) to obtain information and to ensure consistency.
5. Observe and support as requested, the CGIC's Information Officer(s)' efforts to establish strong and effective public information services.
6. Monitor and measure public and media perception of response effectiveness and keep the **RIC/NIC** and **staff** advised.
7. Schedule and keep the **RIC/NIC** and staff informed of news releases, press conferences, town meetings, etc. to be conducted at the **RIC/NIC** level.
8. Prepare material and coordinate the conduct of press conferences, town meetings, etc. Provide speaker preparation and coaching to members of RIUNIC staff
9. Carry out the protocol function for visiting dignitaries, including coordination and conduct of briefs and site visits. As much as possible, the RIUNIC will deal with all VIPs in an effort to reduce staff load at the **CGIC(s)** level.

E. **RIC/NIC** LAW SPECIALIST.

1. Advise the RIUNIC on legal issues.

Appendix B Roles & Responsibilities of Regional/National Incident Command Team

2. Establish links with the Responsible Party, State, and other applicable legal representatives. This is primarily a responsibility during Spills of National Significance (SONS).

F. ASSISTANT RIC/NIC, PLANNING.

1. Under the direction of the **RIC/NIC**, facilitate/conduct **RIC/NIC** staff meetings. Be the process facilitator.
2. Review for consistency, the **CGICs'** Incident Action Plans. Ensure that the **CGIC's** are adequately and appropriately anticipating and preparing for future response needs as well as the next operational period. Brief **IAP(s)** to **RIC/NIC** and staff.
3. In consultation with the Assistant **RIC/NIC** for Logistics, Resources Unit Leader (if assigned), and Situation Unit Leader, recommend to **RIC/NIC** the incident priorities.
4. In consultation with the Logistics, Resources Unit (if assigned) and Situation Unit Leader, recommend to **RIC/NIC** the assignment and demobilization of critical resources.
5. Prepare and distribute the **RIC/NIC** policies, procedures and decisions to the **RICMIC** staff and the on-scene incident **command(s) IC(s)**. Maintain a record of all these documents.
6. Develop/assemble the **National/Regional Incident Command Operating Guide (RIC/NIC OG)**. The **RIC/NIC OG** should include the following:
 - a. **RIC/NIC Overall Incident Objectives.**
 - b. **Critical Resources** (Critical Resources are any piece of equipment, personnel with technical or subject matter expertise, or other capabilities requested by Incident Commanders that are in high demand or short supply and essential for the proper execution of tactical actions at the incident.).
 - c. **Incident Priorities** (as applicable to critical resources).
 - d. **RIC/NIC Staff Organization Chart**, showing names and assigned positions of all participants.
 - e. **RIC/NIC Staff meeting and briefing schedule**; including schedule for phone calls and meeting of **RIC/NIC** with **CGIC(s)**.
 - f. **RIC/NIC Communication Plan** (should identify how the **RIC/NIC** staff is able to communicate with the **CGIC(s)** and others).
 - g. **RIC/NIC Information Plan.**
 - h. **Unusual situation and emergency procedure reporting.**
 - i. **24 hour watch procedures.**
 - j. **As needed, RIC/NIC policy, procedures and decisions.**

Appendix B Roles & Responsibilities of Regional/National Incident Command Team

7. Develop briefing paper(s) on Incident Specific Issues and Concerns. Issues and concerns are matters raised in the course of the response that the **RIC/NIC** desires to have researched or discussed as an aid to fully understanding the issue. Issues will be summarized in a briefing paper (ideally less than 1 page; no more than 2 pages) and included in the **RIC/NIC** OG for the information of **RIC/NIC Staff** and **CGIC(s)**.

G. **RIC/ NIC** SITUATION UNIT LEADER.

1. Develop and implement procedures for establishing and maintaining current the “common operational picture” for the **RIC/NIC** and staff This includes proactive intelligence gathering from all **RIC/NIC** staff elements and the **CGIC(s)**.
2. Maintain current situation status displays.
3. Prepare incident situation information for support of, and use in, briefing documents and presentations.
4. Support/assist the Assistant **RIC/NIC**, Planning with developing recommendations for establishing priorities and assigning/demobilizing critical resources.
5. As required by RIUNIC, provide **frequent/timely** incident status updates to CG Headquarters, the parent CG District and other agencies and entities.

H. **RIC/NIC** RESOURCES UNIT LEADER.

1. Maintain resource status for all critical resources. This will require regular contact with **CGICs** to ensure that resource status is current. Also track **RIC/NIC Staff** and resources that directly support them.
2. Support/assist the Assistant **RIC/NIC**, Planning in developing recommendations for establishing priorities and for assigning and demobilizing critical resources.
3. Working with the **CGICs**, submit critical resource needs to the Assistant **RIC/NIC** Logistics Section.
4. Coordinate with the Assistant **RIC/NIC** Finance/Administration Section to track overhead/costs for RIUNIC and provide to Assistant **RIC/NIC**, Finance/Administration.

Appendix B Roles & Responsibilities of Regional/National Incident Command Team

I. ASSISTANT RIC/NIC, LOGISTICS.

1. Provide facilities, services, communications capabilities and administrative supplies for the **RIC/NIC** organization.
2. Obtain specialists and **RIC/NIC** staff support as requested.
3. Establish liaison with **CGIC(s)** Logistics Section(s) so as to identify critical resources.
4. Support/assist the Assistant **RIC/NIC**, Planning in developing recommendations for establishing priorities to govern the assignment of critical resources and to develop recommended assignment/demobilization of critical resources.
5. As necessary, provide for identification and acquisition of national level response resources needed by the **CGIC(s)**. Track critical resources from time ordered to check-in.
6. When directed by **RIC/NIC**, take charge of expanded supply network to support the **CGIC(s)**.
7. Develop **RIC/NIC** Communication Plan (should identify how the **RIC/NIC** staff is able to communicate with the **CGIC(s)** and others).
8. Track national/international resources until they arrive at the scene and are turned over to the cognizant incident Resources Unit Leader.
9. Coordinate directly with the Assistant **RIC/NIC** Finance/Administration Section for procurement and accounting purposes.

J. ASSISTANT RIC/NIC, FINANCE/ADMINISTRATION.

1. Track and document total response costs.
2. Ensure that response costs are managed within the established financial ceilings and guidelines. Coordinate ceiling adjustments.
3. For oil and hazardous materials incidents keep the **RIC/NIC** advised as to impact on the OSLTF or CERCLA Fund and **potential/projected** time for reaching liability limits of the Responsible Party.
4. For oil spills: Establish Pollution Removal Funding Authorization (PRFA) or other interagency agreements and ensure compliance with all cost documentation requirements of interagency fiscal agreements.
5. For oil spills: Coordinate the overall processing of claims with the responsible party and **CGIC(s)**.

Appendix C Training and Exercise Standards for the Regional/National Incident Command Team

A. Training. The capability of the **RIC/NIC** teams is dependent upon an individual's Coast Guard experience and ICS training. The goal is to have members complete the recommended training for their positions. As more personnel gain knowledge in ICS earlier in their careers, the training burden for those **staffing** a **RIC/NIC** will greatly diminish. The required TAD is to ensure **RIC/NIC** members receive exposure to a **wildland** fire command and control team. The focus of the TAD can, alternatively be broadened to include large Coast Guard response operations.

1. Regional/National Incident Commander:

- ICS for Executives (I-402)

2. Deputy Commander:

- ICS for Executives (I-402)

3. Assistant **RIC/NIC**, Planning:

- . ICS I-400 Training
- Planning Section Chief Course (S-440)
- TAD for 2 days to a Type I **wildland** fire to observe and work alongside a Type I Planning Section Chief

4. Assistant **RIC/NIC**, Logistics:

- . ICS I-400 Training
- Logistics Section Chief Course (S-450)
- TAD for 2 days to a Type I **wildland** fire to observe and work alongside a Type I Logistics Section Chief

5. Assistant **RIC/NIC**, Finance/Administration:

- . ICS I-400 Training
- Attend FEMA training for cost recovery under the **Stafford** Act
- TAD for 2 days to a Type I **wildland** fire to observe and work alongside a Type I Finance Section Chief

6. **RIC/NIC** Resources Unit Leader:

- ICS I-300 Training
- Resources Unit Leader Course (S-348)

Appendix D Spills of National Significance

- TAD for 2 days to a Type I **wildland** fire incident to observe and work alongside a Type I Resources Unit Leader

7. RIC/NIC Situation Unit Leader:

- ICS I-300 Training
- Situation Unit Leader Course (S-346)
- TAD for 2 days to a Type I **wildland** fire to observe and work alongside a Type I Situation Unit Leader

8. RIC/NIC Liaison Officer:

- ICS I-300 Training

9. RIC/NIC Protocol Officer:

- ICS I-300 Training

10. RIC/NIC Law Specialist:

- ICS I-300 Training

11. RIC/NIC Information Officer:

- ICS I-300 Training

B. Exercises. It is anticipated that exercising the Regional and National Incident Command will be incorporated into already established exercises that deal with large scale response operations such as SONS, **SAREXs**, Weapons of Mass Destruction (**WMD**), and Hurricane Exercises.

Appendix D Spills of National Significance

A, SONS Classification.

If a discharge occurs in the coastal zone and is classified as a substantial threat to the public health or welfare of the United States (40 CFR 300.320 (a)(2)), or the necessary response effort is so complex that it requires extraordinary coordination of federal, state, local, and responsible party resources to contain and clean up the discharge, the Commandant may classify the incident as a Spill of National Significance (SONS) under the National Oil and Hazardous Substance Contingency Plan (**NCP**) 40 CFR 300.5.

The National Contingency Plan (**NCP**) describes, in part, the Federal government's responsibility for strategic coordination and support of Federal On-Scene Coordinators (FOSC) when responding to a Spill of National Significance. To meet these responsibilities, the Coast Guard may establish a National Incident Command based on the "Area Command" organizational model used for major/multiple incident management within NIIMS. Other agencies or the responsible party may use different organizational structures (not based on the NIIMS Area Command model) to carry out similar strategic coordination to support the Incident Commander or Unified Command. In such instances, the Coast Guard will work with the affected state(s), responsible party, and other appropriate agencies to agree on an organizational structure that best ensures effective strategic coordination and support to the incident management team(s).

When the Commandant classifies a discharge as a SONS, the Commandant may name a National Incident Commander (**NIC**). The NIC will establish a National Incident Command organization as described in Chapter 4. Pursuant to 40 CFR 300.323, the NIC will assume the role of the FOSC in:

- a. Communicating with affected parties and the public, and,
- b. Coordinating federal, state, local, and international resources at the national level.
- c. Strategic coordination will involve, as appropriate, the National Response Team (**NRT**), the Regional Response Team (**RRT**), the Governor(s) of the affected state(s), and the mayor(s) or other chief executive(s) of local government(s). In addition, the **NIC** will coordinate with the senior corporate management of the responsible **party(ies)**.

To ensure a clear line of succession a Deputy National Incident Commander will be designated by the Commandant or appointed NIC.

The National Incident Command does not replace the on-scene incident ICS organization(s) or functions. Tactical operations continue to be directed at the **On-Scene Incident Command** level.

The National Incident Command will be established to include representatives of the responsible party and affected federal, state, local and international interests.

Appendix D Spills of National Significance

Representatives to the National Incident Command should typically be at the highest executive levels of the responsible party and responding government agencies.

B. Multi ACP Area Responses.

There shall be only one Federal On-Scene Coordinator (**FOSC**) at any time during the course of a response operation regardless of whether the spill covers multiple areas and **ACPs**. The primary consideration in determining which Captain of the Port (COTP) to be the FOSC is in whose area is there greatest vulnerability or greatest threat.

- a. If a discharge or release moves from the area covered by one ACP into another area, the authority for response actions should likewise shift.
- b. Should a discharge affect two or more areas with different lead agencies having response authority (for example EPA and Coast Guard) the agency whose area is vulnerable to the greatest threat should provide the FOSC. If the agencies can not agree, the applicable Regional Response Team (**RRT**) or teams will designate the FOSC.
- c. The National Response Team (**NRT**) will designate the FOSC if two or more **RRTs** are unable to agree on an FOSC designation within two or more adjacent RRT areas.

The National Incident Command structure is intended to enhance the local response organization and will rely on the applicable Area Contingency Plans as the basis for strategic direction of response actions.

Incident Management Assist Teams (IMATs) Guidance

Incident Management Assist Team Guidance

I. PURPOSE

This guidance is intended to address three primary areas relating to the establishment of Incident Management Assist Teams (**IMATs**) in the Coast Guard. These areas include:

- a. Outlining all aspects of the **IMAT** concept for the Coast Guard;
- b. Providing a guide for Areas to **fulfill** their responsibilities to build a team composed of trained and experienced personnel; and,
- c. Assigning responsibilities for support and oversight of the **IMATs**.

II. BACKGROUND

A. Incident Management Assist Team Concept and Value.

Coast Guard units routinely respond to a wide range of incidents. The vast majority of these incidents never reach the level of complexity or intensity that would require a trained incident management assist team from outside a unit's local area. However, there are instances where more command and control experience and capability using the Incident Command System (**ICS**) is required to ensure the best possible response. To support Incident Commanders responding to complex, resource-intensive response operations, highly trained, multi-contingency **IMATs** will be available. For the purpose of this Instruction, Incident Commander (**IC**) means any individual designated as: (1) Federal On-Scene Coordinator under the National Contingency Plan; (2) Coast Guard Incident Commander under the Contingency Preparedness Planning Manual – Volume I, or (3) any other Coast Guard personnel assigned to manage incident operations by a unit Commanding Officer or Officer in Charge. Appendix A provides a brief glossary of Coast Guard unit commanders available for assignment as **ICs**. When activated, the teams will be under the control of the IC to augment their incident management needs. **IMATs** can also be called to assist District and Area Commanders.

To ensure that the **IMATs** are multi-contingency capable, and to capitalize on the knowledge and experience that already exists in the Coast Guard, personnel for these teams will come from a wide range of Coast Guard programs.

One team will be located in the Atlantic Area and one in the Pacific Area. This geographic breakdown delineates each team's area of responsibility for response. All units, including headquarters units, residing within an Area's geographic boundary should be considered a potential source for team members.

B. Incident Management Assist Team Performance Expectations.

IMATs represent the highest level of ICS expertise in the Coast Guard. They provide management support for any contingency to which the Coast Guard responds. Their value is in their ability to augment the requesting unit's incident management organization to fill needed positions or enable the organization to operate around the clock. The qualification and performance criteria outlined in this Instruction are based on those used within NIIMS ICS. When necessary, such criteria have been modified for situations unique to the Coast Guard.

ICs requesting the support of an **IMAT** will benefit **from** the team's area of expertise: implementing the ICS to manage an incident. Therefore, an **IMAT** should be called into action when the response requires more incident management expertise than is available to the local area response team. **IMATs** can be used in many ways. These may include:

- a. Members filling their assigned position.
- b. Serving as a deputy.
- c. Serving as a relief during 24 hour operations.
- d. Acting as a coach or mentor for the local personnel assigned to fill a position.
- e. Being reassigned to another position as determined by the **IC's** organization depending upon the member's qualification and experience.

IMAT members may be demobilized whenever the IC determines they are no longer needed to support the incident.

C. Team Composition.

IMATs are made up of the following 16 ICS positions:

Deputy Incident Commander	Safety Officer
Information Officer	Operations Section Chief
Air Operations Branch Director	Planning Section Chief
Resources Unit Leader	Situation Unit Leader
Documentation Unit Leader	Logistics Section Chief
communications unit Leader	Supply Unit Leader
Finance/Administration Section Chief	Time/Cost Unit Leader
Compensation/Claims Unit Leader	Procurement Unit Leader

Requests for deploying less than the full team will be evaluated on a case by case basis by the Team Leader in consultation with the requesting unit. The **final** decision on what support is needed rests with the requesting unit.

D. Experience Building Opportunities.

IMATs provide opportunities for development of incident management skills. In order to develop skills and maintain a 'pool' of qualified members, the Team Leader may include deputies and/or assistants when the team deploys to an incident. The use of personnel in training will be negotiated beforehand with the requesting unit. Inclusion of extra personnel will be subject to the following constraints:

- a. No more than one deputy/assistant will be assigned to any **IMAT** position.
- b. No team will deploy more than 3 deputies/assistants at a time.

E. Criteria for Team Activation.

IMATs provide **ICs** with command and control surge capability. **ICs** should consider requesting an **IMAT** whenever they feel they need the level of incident management support that an **IMAT** provides. At a minimum, Incident Commanders should request an **IMAT** when the operational tempo requires 24-hour-a-day response efforts that will last longer than 72 hours. The factors that may drive a high operational tempo would include:

- a. Incident size.
- b. Incident complexity.
- c. Public and political interest.

In addition to operational tempo, other factors that should be considered when deciding to employ an **IMAT** are:

- a. If there is a substantial commitment of personnel and equipment.
- b. Complex logistical support needs over an extended duration.
- c. High risks to resources, public safety, or life and property.
- d. When it is anticipated that most/all of the command and general staff and unit leader positions will be activated.
- e. The scope of planning is complex.

The teams are not an initial response asset, but rather provide command and control surge force capability for incidents classified as either a Type 1 or Type 2 incident. Refer to Appendix A in Enclosure (1) for definitions and examples of Type 1 and 2 incidents.

F. Requesting an **IMAT**.

The decision to use an **IMAT** lies with the IC. **IMATs** are intended primarily to support multi-unit or multi-agency response operations. The appropriate Area Operations Center will be responsible for notifying the **IMAT** Team Leader. The Team Leader will contact the requesting unit to discuss incident specifics and determine resource needs. To

facilitate recall, pagers will be issued to all **IMAT** members who have not already been issued pagers as part of their normal duties.

IMATs will deploy within 24 hours of being recalled and can expect up to a 21-consecutive-day deployment prior to being relieved by a second team. Every effort will be made to demobilize **IMAT** members at the time they are determined to be in excess to the incident needs.

The Area Commanders always retain the final decision to deploy an **IMAT** based on resource prioritization needs.

G. Readiness.

The status of an **IMAT's** readiness is to be provided to the Area Commander quarterly. Team Leaders should strive to have their team at the highest level of readiness possible. Appendix B discusses measuring and reporting **IMAT** readiness.

III. ESTABLISHING INCIDENT MANAGEMENT ASSIST TEAMS

A. Concept of Organization

The Areas have ultimate responsibility to ensure that their **IMATs** are trained and capable of meeting the response management needs of the IC. The teams multi-contingency response capabilities and non-dedicated billet structure make their successful management a unified effort among the Areas, Districts, NSF, **MLCs**, **ISCs** and the **IMAT** members.

The desired state is one multi-contingency **IMAT** per Area to provide the best possible support to assist IC. To meet that expectation, each **IMAT** must have:

- a. Significant service experience.
- b. In-depth programmatic knowledge and technical skills.
- c. Strong crisis management abilities.
- d. Support-oriented disposition.

A minimum of two personnel will be identified for each position on the **IMAT** (refer to Appendix C for details). Areas are strongly encouraged to establish a rotation schedule for their team that places half of the team on call for one month, allowing the other half of the team to stand down. An established rotation schedule will provide each team member's parent unit with a better framework from which to plan workload and projects.

B. Recommended prerequisites for IMAT positions.

The selection of personnel for positions on the **IMAT** should reflect the “best qualified” individuals and take into account the recommended position prerequisites in Appendix D.

C. IMAT Nomination Form (Individual and Command Selection).

Commanding Officers are encouraged to nominate personnel within their command who have the experience and personal skills for assignment to an **IMAT**.

Personnel desiring consideration for a position on an **IMAT** should follow the instructions outlined in Appendix E.

Both an individual requesting consideration for **IMAT** assignment, and their parent command, must understand the commitment that they are making to participate in all of the training, exercises, and incident deployments to which the **IMAT** will be committed.

D. Absences.

Team members are expected to monitor their on-call rotation schedule and make every attempt to schedule planned absences during the off-rotation period. Notification of any unavailability should be communicated to the **IMAT** Team Leader as far in advance as possible.

The teams are staffed with a minimum of two personnel in each position to maintain team strength in the event of absences and rotations. Should both members of a position not be available, the Areas would rely on each other to make up the shortfalls.

E. Tenure and commitment.

Personnel selected for **IMAT** assignments should, if possible, be assigned early on during their tours and every effort should be made to keep a member on the team for four years or longer, if possible. Personnel must also be available to respond on short notice, to attend all required position-specific and team training, and to participate in all required exercises.

F. Training for each ICS position.

Personnel selected to fill positions on the **IMATs** will need to complete **formal** training and on-the-job training (**OJT**) requirements for their specific position. Appendix F lists,

by position, the required ICS training and OJT. **IMAT** training will be coordinated by the Team Leader through the ICS Training Coordinator.

G. Response Funding Sources

There are three funding mechanisms available to **finance** activation of an **IMAT**:

- a. Oil Spill Liability Trust Fund (OSLTF).
- b. **Superfund** as authorized by the Comprehensive Environmental Response Compensation Liability Act (CERCLA).
- c. Coast Guard O-E funds.¹

H. Response Reimbursement Sources.

Under the Stafford Act, when there is a presidential declaration of a major disaster or emergency, the Coast Guard may receive direct tasking from the Federal Emergency Management Agency (**FEMA**) in the **form** of a Mission Assignment. In execution of a mission assignment, the Coast Guard uses its own funds and resources to complete the task and then seeks reimbursement **from** FEMA. An **IMAT** can be used, if necessary, to help carry out a mission assignment, and is a reimbursable expense.

IV. RESPONSIBILITIES

A. Areas.

- a. Establish an **IMAT** and provide support to develop and maintain its ability to respond.
- b. Assume responsibility for **IMAT** preparedness and response activities.
- c. Maintain operational control (**OPCON**) of the **IMATs**.
- d. Maintain a current roster/recall list with appropriate information on each **IMAT** member. (e.g. pager number, home number, e-mail address, person to contact in the event that the individual can't be reached, etc.).
- e. Work with the NSF, subordinate units, and headquarters units to select personnel for the **IMATs**.
- f. Work with the ICS Training Coordinator to plan and schedule annual **IMAT** training and exercises.
- g. Provide **IMAT** members with pagers for recall capability (for those who do not already have pagers).
- h. In conjunction with Commander, NSF, develop Standard Operating Procedures (SOP) for **IMATs** to operate under.
- i. Supply **IMATs** with the necessary equipment to **perform** their duties.
- j. Work with the Team Manager to support the training needs of team members.

¹ When the Coast Guard is working within its statutory responsibility it is responsible for the cost. Recoupment is sometimes possible but it is not an efficient way to get additional funding.

B. Area Operations Centers.

- a. Maintain a current roster/recall list with appropriate information on each **IMAT** member. (e.g. pager number, home number, e-mail address, person to contact in the event that the individual can't be reached, etc.).
- b. Upon receiving a request for **IMAT** assistance, notify the **IMAT** Team Leader.
- c. When directed by the **IMAT** Team Leader contact the remainder of the team or specific personnel that the Team Leader directs to be contacted.
- d. Conduct a quarterly recall exercise. Notify the Team Manager of results for inclusion in the **IMAT's** readiness measurement.

C. Districts.

- a. Identify and nominate 'best qualified* personnel for positions on the **IMAT**. Provide input to the Areas.
- b. Provide logistics support for the **IMAT** when mobilized to respond to an incident within the District boundaries.

D. Commander, NSF.

- a. Designate one Team Manager for each **IMAT**.
- b. Provide support to Area Commanders to maintain and enhance the **IMAT's** readiness posture using the Appendix B matrix as a guide.
- c. Work with the Areas to select personnel for the **IMATs**.
- d. Work with the Areas and **ICS** Training Coordinator to schedule annual **IMAT** training and exercises.
- e. In conjunction with the Areas, develop SOP for both **IMATs**.
- f. Provide Team Managers with a method to track individual **IMAT** member's qualifications.

E. Team Manager.

- a. Provide Area Commander annually with a list of position-specific training and **OJT** required for **IMAT** members to make progress towards meeting the requirements of Appendix F.
- b. Work with the Area and NSF to establish an annual exercise schedule.
- c. Provide Area with readiness measurement per Appendix B as directed by the Area Commander.
- d. Work with the Area and Commander, NSF to schedule annual **IMAT** team training and exercises.
- e. Work with Areas and the **ICS** Training Coordinator to schedule position-specific training necessary to meet the requirements of Appendix F.
- f. Annually coordinate with a member of the National Wildfire Coordinating Group (**NWCG**), **FIRESCOPE**, or other qualified

consultant to conduct an external evaluation of the team's performance.

F. Team Leader

Note: (The Team Leader responsibilities will be shared by the Deputy Incident Commanders assigned to each **IMAT**.)

- a. When the **IMAT** is requested to support an IC, contact the requesting unit, determine the level of support required, and activate the appropriate **IMAT** members.
- b. Prior to each **IMAT** member's demobilization from an incident or exercise obtain feedback on individual's performance.

G. IMAT members.

- a. Each **IMAT** member is responsible for having a Response Kit containing the necessary **ICS** materials to carry out their jobs for 48 hours. ICS materials can be obtained through the NSF.
- b. Participate in all scheduled training, exercises, and team deployments.
- c. When on call, available to respond to the scene of the incident within 12 hours of being activated in the continental U.S. (INCONUS).

V. EVALUATING **IMATS**

A. Table Top and Functional Exercises.

Exercises are an integral part of improving and maintaining the team's proficiency. At a minimum, the Areas, working with the NSF, will exercise each team annually as follows:

- a. Re-call Verification: Test and verify call up procedures and accuracy of team member's contact numbers. These verifications can be done at any time, but should occur, at a minimum, once a quarter.
- b. Team Building Table Top: The team building Table Top is based on the model used in the National Wildfire Coordination Group (**NWCG**) S-420 Command and General Staff course. This course focuses on the process of team building and personnel interaction, and refreshing team personnel on their roles and responsibilities within a proper NIIMS ICS incident management team. Each team will receive this training at least once every two years or more **frequently** if a team experiences heavy personnel turnover. Team building training is generally three days (plus travel).
- c. Functional exercise: A functional exercise is used to assess the team's ability to respond to a realistic scenario. This is not an additional exercise, but rather the functional exercise schedule makes use of PREP, SAR., and other contingency exercises as appropriate. Due to the multi-contingency capability

of the teams, a broad variety of different contingency response exercises shall be part of the team's exercise agenda. Each **IMAT** should expect to participate in an exercise during the years where no S-420 type team building occurs. Functional exercises will generally be two days (plus travel).

If a team deploys to an incident during the exercise year, Areas can make the determination of whether that deployment meets the functional exercise requirement. In any case, an **IMAT** can expect at a minimum, either a team building exercise or a functional exercise once a year. There will be instances when, after the team building exercise, the **IMAT** may attend a functional exercise due to the findings/needs/desires of the Area.

B. Annual Evaluation.

Annually, the ICS Training Coordinator will coordinate with a member of the National Wildfire Coordinating Group (**NWCG**), **FIREScope**, or qualified consultant to conduct an external evaluation of the team's performance and provide the **IMAT** members with recommendations to improve team efficiency. This evaluation may occur during the functional exercise or during an incident response (if it can be done non-intrusively). Areas will fund the annual evaluation.

The following Appendices are included in this Enclosure:

- Appendix A – Coast Guard Position Titles
- Appendix B – **IMAT** Readiness Matrix
- Appendix C – Responsibility for Filling **IMAT** Positions
- Appendix D – Recommended Prerequisites for each ICS Position
- Appendix E – Nomination Form for **ICS** Position on an **IMAT**
- Appendix F – ICS Position Training, On-the-Job Experience, and Specialty Training for **IMAT** Personnel

Appendix A Coast Guard Position Titles

The following is a glossary of Coast Guard Unit Commanders that could be assigned as **ICs** during response operations. It is possible that more junior **personnel/commands** could be the IC, but as a situation transitions up to a successively larger and more complex incident, personnel filling one of the designated billets identified below would most likely become the overall IC as established by regulation or Coast Guard SOP.

Area Commander	<p>There are two Areas commanded by Vice Admirals. Atlantic Area encompasses the East and Gulf coasts plus the Great Lakes and Puerto Rico. Pacific Area is comprised of the West Coast, Alaska and Hawaii, plus Guam and other Pacific islands.</p> <p>The Area Commander is the principal command & control authority for their zone of responsibility and, as such, can exercise all Coast Guard response authorities with the exception of FOSC and COTP authorities.</p>
District Commander	<p>Each Area is divided into Districts, with a Commander who reports to the Area Commander. Each District is commanded by a Rear Admiral.</p> <p>A District is divided into Groups and Captain of the Port (COTP) zones. Each Group has a Commander. Each COTP zone has a Marine Safety Office (MSO) or Activities commanded by an officer designated as the COTP. All of these units report to the District Commander.</p> <p>The District Commander may exercise all Coast Guard response authorities as appropriate with the exception of the FOSC and COTP authorities.</p>
Coast Guard Incident Commander (CGIC)	<p>The CGIC may be designated (or pre-designated) for any contingency by the District Commander. The CGIC usually is a senior officer who is qualified for command and will normally be a commanding officer of one of the units in the affected port, or a commanding officer of an afloat or aviation unit that is responding to the incident.</p> <p>A CGIC will respond to contingencies with resources assigned by the District Commander. When designated, the CGIC assumes operational and tactical control over only those Coast Guard resources assigned to support the response operation.</p> <p>The CGIC designation is normally based on the command and control capabilities and statutory responsibilities required for the particular contingency response.</p>
Captain of the Port (COTP)	<p>During contingency operations the COTP has pre-delegated authority to respond to contingencies that affect the safety and efficient use of the nation's ports and waterways. The COTP has both regulatory and legal functions and has certain powers under federal law.</p> <p>The COTP is designated by the Commandant but reports to the District Commander. In most cases, the Commanding Officers of Marine Safety Offices (MSO) are designated as the COTP.</p> <p>An Activities Commander usually has COTP authority.</p>

Appendix A Coast Guard Position Titles

Activities Commander	<p>Activities Commanders have “one stop shop” command & control authority and as such may exercise the various authorities normally assigned to an MSO and Group.</p> <p>An Activities Commander could be the SAR Mission Coordinator, COTP, FOOSC, and CGIC all at one time.</p>
SAR Coordinator (SC)	<p>The SAR Coordinator is normally the District Commander.</p> <p>The SC ensures SAR operations are coordinated efficiently through the use of available SAR resources.</p>
SAR Mission Coordinator (SMC)	<p>The SAR Mission Coordinator is designated by the SAR Coordinator (SC) to manage a specific SAR mission and has the full operational authority of the SC.</p> <p>An SMC is usually assigned for each SAR mission. The District Command Center or Group Operations Center is normally assigned as the SMC.</p> <p>The SMC plans and operationally coordinates and controls SAR missions, prosecuting each mission with resources available.</p>
Federal On-Scene Coordinator (FOOSC)	<p>The Federal On-Scene Coordinator is the principal authority for responding to oil and hazardous material spills or releases, including substantial threats of discharges and releases.</p> <p>The FOOSC uses legislative and regulatory authorities to ensure that pollution response is carried out expeditiously and aggressively. The FOOSC authority is normally delegated to the COTP, but if the incident is large enough, the District Commander, Area Commander, or the Commandant may act as the FOOSC if this authority is re-delegated to them.</p>
Group Commander	<p>Groups are the lowest level at which Coast Guard units are aggregated under one commander. Groups are named geographically based on their area of responsibility or headquarters locale and are established to coordinate most non-Marine Safety Coast Guard operations in that local area.</p> <p>Group units include small boat stations, patrol boats, aids to navigation teams, and other units that perform one or more missions.</p>
Commanding Officer, Marine Safety Office	<p>Marine Safety offices are field units tasked with carrying out numerous federal responsibilities ensuring the safe and efficient use of the nation’s ports and waterways.</p> <p>The Commanding Officer is usually designated as the Captain of the Port (COTP) and Officer in Charge Marine Inspection (OCMI). Both authorities may be used to respond to various contingencies.</p>

Appendix B **IMAT** Readiness Matrix

Purpose. The **IMAT** Readiness Matrix is used to communicate to the Area Commander the overall readiness of the **IMAT**. It is also designed to provide the **IMAT** Leader with the general readiness measure of individuals on the team.

Measurement Variables. Five measurement variables are used to measure team readiness: training requirements, exercises, prerequisite qualifications, response with the **IMAT** to an actual incident, and time on the **IMAT**.

1. Training Requirements: Each position identified within the **IMAT** has required training associated with it (See Appendix F).
2. Exercises: Type and number of annual exercises is stipulated in section 5 of this Enclosure.
3. Prerequisite Qualifications: Each position on the **IMAT** has prerequisite qualifications recommended to attempt to capture experience and training received through an individual's career (See Appendix D).
4. Response with the **IMAT** to an actual incident: This variable captures value of working as a team on actual incidents.
5. Time on Team: Makes the assumption that the longer an individual is on a team the better they perform their role and contribute to improved team dynamics.

Variable Weights.

- Training Requirements 20%
- Exercises 20%
- Prerequisite Qualifications 15%
- Respond with the Team 30%
- Time on Team 15%

Team/Individual Readiness. These readiness indicators are to be treated as estimates of expected performance. Service norms will only be developed over time as actual team performance is assessed during incidents.

- Green (3.2 to 4.0)
- Amber (2.5 to 3.1)
- Red (<2.5)

Appendix B IMAT Readiness Matrix

Reading the spreadsheet.

The example below shows two of the 16 **IMAT** positions that go into the overall team readiness matrix.

Variables	Deputy IC	OSC	Var Avg.	Weighted
Training Requirement	4	3		0.70
Exercises	2	2		0.40
Prerequisite Qualifications	0	2		0.15
Respond with the Team	3	3		0.90
Time on Team	2	2		0.30

4 in *Training Requirement* indicates that the Deputy IC completed 100% of required training.

Average score of all **team** members on *Training Requirement* variable

This column takes the variable average scores and weights them. For *Training Requirements*, the weight is 20% ($\text{var.avg.} \times .2 = .7$)

The Deputy IC's individual readiness score $(4+2+0+3+2)/5 = 2.2$

In this example the overall **team** readiness is less than 2.5 (red). Examining the five variables that are factored into readiness will indicate areas needing attention. $(.7+.4+.15+.9+.3) = 2.45$

Enclosure (3) to COMDTINST M3 120.15

Appendix B IMAT Readiness Matrix

Table 1: IMAT Readiness Matrix (example)

Team Positions																		
Variables	Deputy IC	OSC	PSC	LSC	FSC	SO	IO	DOC	CUL	RUL	SUL	TUL	ABD	SUPL	COMPL	PROC	Var Avg.	Weighted
Training Requirement	4	3	4	2	1	0	3	3	3	3	3	3	3	3	3	2		0.54
Exercises	2	2	4	4	2	0	4	2	2	4	2	0	2	2	4	2		0.48
Prerequisite Qualifications	0	2	4	4	4	2	4	4	4	2	4	4	4	4	4	4		0.51
Respond with the Team	3	3	2	4	1	1	0	3	2	2	4	3	2	1	2	3		0.68
Time on Team	2	2	2	2	2	1	3	4	3	2	3	3	2	1	1	2		0.33
Individual Position Readiness Indicators																		

Training Requirement:

4 = 100% completion of required course work
 3 = 75% to 99% completion of required course work
 2 = 50% to 75% completion of required course work
 1 < 50% completion of required course work
 0 = None

Exercises:

4 = Participated in all required annual exercises
 2 = Participated in more than 50% of required annual exercises
 0 = Participated in less than 50% of required annual exercises

Prerequisite Qualifications:

4 = Have all qualifications
 2 = Have more than 50% of qualifications
 0 = Have less than 50% of qualifications

Responded with the Team to actual incident:

4 = 4 or more times
 3 = 3 times
 2 = 2 times
 1 = 1 time
 0 = None

Time on Team:

4 = 3 to 4 years
 3 = 2 to 3 years
 2 = 1 to 2 years
 1 = 0 to 1 year

Note: Scores range from 0 to 4 with 4 being the best

Team
Readiness

Appendix C Responsibility for Filling **IMAT** Positions

Areas and Commander, NSF, are tasked with the responsibility for identifying personnel to serve on the **IMATs**. Areas should consider all units, including headquarters units, residing within their geographic boundary as a potential source for team members. The table below lists each ICS position on the **IMAT** and designates whether Areas or NSF is responsible to fill each position. For example, filling the position of Resources Unit Leader will require both the Area and NSF to find qualified candidates. Area will need to identify one and NSF, the other.

Other than Deputy Incident Commander, Planning Section Chief, and Operations Section Chief which are four deep, all other positions will have two personnel designated. The positions of Deputy Incident Commander, Planning Section Chief and Operations Section Chief will each require two personnel with an operations background and two personnel with a marine safety background. This is to enable the teams to establish an on-call rotation schedule while maintaining a multi-contingency response capability.

<u>POSITION</u>	<u>RESPONSIBLE FOR FILLING POSITION</u>
Deputy Incident Commander *see note below	AREA(3)/NSF(1)
Operations Section Chief	AREA(3)/NSF(1)
Planning Section Chief	AREA(3)/NSF(1)
Logistics Section Chief	AREA/AREA
Finance/Administration Section Chief	AREA/AREA
Safety Officer	AREA/AREA
Documentation Unit Leader	NSF/NSF
Air Operations Branch Director	AREA/AREA
Resources Unit Leader	NSF/AREA
Situation Unit Leader	NSF/AREA
Information Officer	AREA/AREA
Communications Unit Leader	AREA/AREA
Supply Unit Leader	AREA/AREA
Compensation/Claims Unit Leader	NSF/AREA
Time Unit Leader	NSF/AREA
Procurement Unit Leader	AREA/AREA

*Note: The Deputy Incident Commander that is on call to respond to an incident will act as **IMAT** Team Leader for **all** full or partial team deployments. In instances where the Deputy Incident Commander does not deploy to an incident, she/he may designate another deploying **IMAT** member to carry out these responsibilities.

Appendix D Recommended Prerequisites for each ICS Position

Until the Coast Guard has a pool of personnel experienced in the use of the Incident Command System the skills and experience individuals have obtained through their career should weigh heavily in the team selection. As more personnel become qualified in ICS, the emphasis for team selection will shift more towards having ICS based knowledge and experience.

In addition to experience, personnel should be considered for their 'soft skills' as well. Members of the **IMAT** will be more effective if they have support-oriented attitudes and are flexible. Interpersonal skills are paramount to a team's success, both in working together and in integrating into a requesting unit's command organization.

For three positions (Deputy IC, Operations Section Chief, and Planning Section Chief) recommended ranks have been included. These positions require senior personnel due to the role they play in the response organization, number of resources that they direct, and key decisions that they have to make. Other positions may be **staffed** without regard to rank.

Deputy Incident Commander (Team Leader)

- o-510-4
- Tactical expertise in their discipline
- Demonstrated ability to establish an organization in a crisis situation

Operations Section Chief

- **Preferred** O-510-4
- Tactical expertise in their discipline
- Demonstrated ability to establish an organization in a crisis situation

Planning Section Chief

- O-510-4
- Tactical experience in their discipline
- Demonstrated ability to establish an organization in a crisis situation

Air Operations Branch Director

- Mission planner
- Aircraft Commander qualified
- Demonstrated knowledge on fixed wing and rotary aircraft logistical needs and performance capabilities

Appendix D Recommended Prerequisites for each ICS Position

Finance/Administration Section Chief

- Experience working in Financial Management program in budgeting or accounting
- Multi-agency response experience
- Demonstrated managerial and organizational skills

Situation Unit Leader

- Experience in facilitating information management and display during an emergency response
- Familiar with Geographic Information System (GIS)

Safety Officer

- Industrial Hygienist/Certified Safety Professional/Certified Industrial Hygienist
- Safety Officer on a significant incident involving multi-agencies
- Hazwoper trained
- Demonstrated ability to conduct site characterization
- Thorough knowledge of Coast Guard Health and Safety Policy
- Demonstrated familiarity with OSHA regulations in 29 CFR part 19 10

Resources Unit Leader

- Experience tracking 'Resources' at an incident
- Broad understanding of Coast Guard resources and their potential applications to multi-contingency response operations

Documentation Unit Leader

- Significant operations experience at a major response
- Some experience with the G-LCL Documentation Chief either at a PREP drill or an actual incident

Logistics Section Chief

- Firm understanding of Coast Guard logistics support system
- Excellent managerial and organizational skills

Appendix D Recommended Prerequisites for each **ICS** Position

Information Officer

- Information Officer during a complex emergency response
- Public Affairs/Risk Communications Training
- Designation as primary or collateral duty public affairs officer

Compensation/Claims Unit Leader

- Experience in processing claims
- Response experience

Time Unit Leader

- Understanding of Coast Guard policies on reimbursement for costs incurred and methods to document Coast Guard and other agency resource use and costs Coast Guard time documents
- Response experience

Communications Unit Leader

- Experience allocating communications frequencies during emergency response operations
- Strong familiarity with Coast Guard communications capability
- Response experience

Supply unit Leader

- Experience using **LUFS** and the ordering process
- Level (1 a) contracting warrant
- Experience in simplified acquisition procedures
- Response experience

Procurement Unit Leader

- Contracting Officer (warrant level 2 or 3)
- Response experience

Appendix E Nomination Form for ICS Position on an **IMAT**

To assist the Areas and the NSF in locating experienced and willing personnel for the **IMATs** a Self-Nomination Form comprises this Appendix. This is an example form only. Personnel desiring to be considered for an **IMAT** must understand the 1-3 week commitment per year for participation in training and exercises, the **24-hour** on-call **commitment** when on standby, and the potential for unscheduled and extended 21 day TAD **from** their home and their unit. Interested personnel must receive the permission **from** their command to participate on an **IMAT**.

Once approved by the command, **IMAT** Nomination Forms should be submitted to the Area RMCC member(s) by the end of April each calendar year via the proper chain of command.

Commanding Officers are encouraged to recommend personnel for a position on the **IMAT**.

Appendix E Nomination Form for ICS Position on an **IMAT**

IMAT Position(s) Applying For:	
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Personal Information
Name:
Job Title:
Rank:
Unit:
Phone Number:
Fax Number:
E-Mail:

Nominee's Supervisor Information
Name:
Phone Number:
Command's endorsement:

Briefly describe your emergency response operations experience:
--

Please list any National Interagency Incident Management System Incident Command System (NIIMS ICS) training and experience:
Acknowledgement of commitment (Both the individual requesting consideration for IMAT assignment and their parent command must understand the time commitment required for participation in all training, exercises, and incident deployments.)
<hr/> signature of IMAT applicant

Appendix F ICS Position Training, On-the-Job Experience, and Specialty Training for **IMAT** Personnel

The capability of the **IMAT** is intricately related to the individual position training each member of the team receives. The desired goal is to have members complete the prescribed training for their position. In addition to the training listed below, it is envisioned that each **IMAT** member will complete the ICS Position Task Books (**PTB**) associated with their position on the team. **PTBs** are similar to Coast Guard PQS booklets and are a part of the NIIMS ICS training subsystem. It is recognized that for some positions achieving all of this training will be difficult given the constraints of time and fiscal resources. However, over the next two to three years, the Areas should make every attempt to have the **IMATs** meet the training standards listed below. Funding limitations that inhibit achieving the desired training goals should be included in the regional strategic assessment process. The TAD is currently focused on **IMAT** members receiving exposure to a wild land fire command and control team. As experience is gained in the Coast Guard on the use of the ICS, the focus of the TAD can be broadened to include large Coast Guard response operations.

Deputy Incident Commander

- NIIMS National Curriculum through (MOO): **5-6** days
- Incident Commander (S-400): **3 days**
- Command and General Staff Course (S-420): **5** days
- Coast Guard Planning Process Workshop: 5 days
- TAD 3 days to a Type 1 **wildland** fire to observe and work alongside a Type 1 Incident Commander

Planning Section Chief

- NIIMS National Curriculum through (I-400): 5-6 days
- Planning Section Chief (S-440): 4 days
- Coast Guard Planning Process Workshop: **5** days
- Resources Unit Leader (S-348): 3 days
- Situation Unit Leader (S-346): 3 days
- Command and General Staff Course (S-420): 5 days
- TAD 3 days to a Type 1 **wildland** fire to observe and work alongside a Type 1 Planning Section Chief
- **OSC²** training: 1-3 days

Operations Section Chief

- NIIMS National Curriculum through (I-400): 5-6 days
- Operations Section Chief (S-430): 3 days
- Division and Group Supervisor workshop (S-339): **3 days**
- Coast Guard Planning Process Workshop: 5 days

Appendix F ICS Position Training, On-the-Job Experience, and Specialty Training for IMAT Personnel

- Command and General **Staff** Course (S-420): **5** days
- TAD 3 days to a Type 1 **wildland** fire to observe and work alongside a Type 1 Operations Section Chief

Logistics Section Chief

- NIIMS National Curriculum through I-400: 5-6 days
- Logistics Section Chief Course (S-450): **5** days
- Supply Unit Leader Course (S-356): 3 days
- Command and General Staff Course (S-420): 5 days
- TAD 3 days to a Type 1 **wildland** fire to observe and work alongside a Type 1 Logistics Section Chief
- TAD 2 days to a interagency Geographic Area Coordinating Center

Finance/Administration Section Chief

- NIIMS National Curriculum through I-400: 5-6 days
- Finance/Administration Section Chief Course (S-460): 4 days
- Command and General **Staff** Course (s-420): 5 days
- FEMA training on **funding** of Stafford Act responses
- TAD 3 days to a Type 1 **wildland fire** to observe and work alongside a Type 1 Finance/Administration Section Chief

Resources Unit Leader

- NIIMS National Training **Curriculum** through I-300: 3-4 days
- Resources Unit Leader (S-348): 3 days
- TAD 3 days to a Type 1 **wildland** fire to observe and work alongside a Type 1 Resources Unit Leader
- **OSC²** training: 1-3 days

Situation Unit Leader

- NIIMS National Training Curriculum through I-300: 3-4 days
- Situation Unit Leader (S-346): 3 days
- TAD 3 days to a Type 1 **wildland fire** to observe and work alongside a Type 1 Situation Unit Leader
- **OSC²** training: 1-3 days

Documentation Unit Leader

- **NIIMS** National Training Curriculum through I-300: 3-4 days

Appendix F **ICS** Position Training, On-the-Job Experience, and Specialty Training for **IMAT** Personnel

- **OJT** with G-LCL Documentation Specialist at a significant response
- **OJT** with G-LCL Documentation Specialist during litigation phase
- **OJT** with G-LCL Documentation Specialist at a PREP drill
- OSC Course or CPODC (Crisis Management) documentation and liability training segments at **TRACEN** Yorktown.

Safety Officer

- **NIIMS** National Curriculum through I-300: 3-4 days
- Safety Officer (S-404): 4 days

Information Officer

- **NIIMS** National Curriculum through I-400: 5-6 days
- Incident Information Officer (S-403): 4 days
- Risk Communications Training: 1-2 days
- **JIC** Training: 1 day

Compensation/Claims Unit Leader

- **NIIMS** National Curriculum through I-300: 3-4 days

Time Unit Leader

- **NIIMS** National Curriculum through I-300: 3-4 days

Air Operations Branch Director

- National Curriculum through I-400: 5-6 days
- **NIIMS** Air Operations Branch Director Course (S-470): 2-3 days
- **NIIMS** Air Tactical Supervisor Course (S-378): 3 days
- TAD 3 days to a Type 1 **wildland** fire to observe and work alongside an Air Operations Branch Director

Communications Unit Leader

- **NIIMS** National Curriculum through I-300: 3-4 days
- Communication Unit Leader (S-358): 9 days
- TAD 2 days to a Type 1 **wildland** fire to observe and work alongside a Communications Unit Leader

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Appendix F ICS Position Training, On-the-Job Experience, and Specialty Training for
IMAT Personnel

Supply Unit Leader

- . **NIIMS** National Curriculum through I-300: 3-4 days
- TAD 2 days to a Type 1 **wildland** fire to observe and work alongside a Supply Unit Leader

Procurement Unit Leader

- **NIIMS** National Curriculum through I-300: 3-4 days